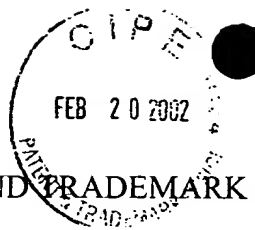


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UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant or Patentee: Gerald P. Sullivan

Serial No. or Patent No.: 09/624,732

Filed or Issued: July 25, 2000

Art Unit: 2165

Examiner: James Zurita

Title: **APPARATUS AND METHOD FOR CREATING AND MANAGING A
FINANCIAL INSTRUMENT**

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Assistant Commissioner for Patents
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
January 17, 2002



AMENDMENTS

In response to the Office Action dated September 17, 2001, the time for responding thereto having been requested to be extended, please amend the above-identified application as follows:

In the Specification:

Please change the specification as follows:

Page 3, after line 17 add -- Figure 11 illustrates the allocation of an investment share

 to each security of an industry. --

Page 4, line 2: change "Standard & Poors" for --STANDARD & POORS--;

02/26/2002 BNGUYEN1 00000036 09624732

01 FD:203 135.00 3F
02 FD:202 152.00 3F